

<b>Interview Summary</b>	Application No. 08/944,234	Applicant(s) KUNZLER ET AL.	
	Examiner LIEN TM NGO	Art Unit 3727	

All participants (applicant, applicant's representative, PTO personnel):

- (1) Lien Ngo. (3) Carlosgil (applicant).  
 (2) Ozzie Fares (counsel). (4) \_\_\_\_\_.

Date of Interview: 04 November 2004.

Type: a) ☐ Telephonic b) ☐ Video Conference  
 c) ☒ Personal [copy given to: 1) ☒ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.  
 If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: proposed amendment of claims 126-131.

Identification of prior art discussed: Scheicher (4,197,645).

Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

\_\_\_\_\_  
 Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

#### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: No agreement that the proposed amendment of claims 126-131(fax in 11/4/04) would overcome the Scheicher. Examiner suggested that in order to the claims to be allowable, applicant should amend to overcome the 112 rejections, specification objection and drawing objection in office action dated 9/24/04, and the independent claims should be amended including more structural limitations to make the claims distinguished from the prior art, for example, the form cutter comprises a concaval-convex cutting surface, and in an undersurface of the form cutter provided with a beveled gearing surface, which cooperates with a pinion gear provided in a distal end of the drive shaft. A formal amendment will be filed as suggested by the examiner and an update search will follow.



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**FAX**

**TO**           **NAME**                           Examiner Lien Ngo  
                 **FIRM**                       USPTO  
                 **FAX NO.:**               703 746 3309  
                 **PHONE NO.:**

**PAGES (INCLUDING COVER):**           04

**FROM**           **NAME:**                       Ozzie A. Farres  
                 **DIRECT DIAL:**           202 955 1923

**MESSAGE**

IF THERE IS A PROBLEM WITH TRANSMISSION PLEASE CONTACT THE SENDER AT 404-888-4578 EXT  
202 955 1923

**FAX ID :**                           088418A13652CF4  
**DATE:**                           Thursday, November 04, 2004  
**TIME:**                           11:32:50 AM

**CLIENT/MATTER NO.:**           64118.000044

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Attorney Docket No. 64118.000044

**PROPOSED AGENDA FOR  
EXAMINER INTERVIEW OF NOVEMBER 4, 2004**

**(NOT OF RECORD)**

126. (Newly Added) A device for preparing a space in  
a human spine to receive an insert between adjacent vertebral bodies, said device  
comprising:

an elongated shaft portion;

a housing disposed at the distal end of said elongated shaft portion;

a drive means;

a drive source operably connected to said drive means; and

a form cutter mountable on said housing and movable by said drive means, wherein:

said form cutter has at least one milling surface selected to create a surface contour in one of the  
adjacent vertebral bodies as said form cutter is moved by said drive means, said milling surface  
positioned to mill in a direction perpendicular to said elongated shaft portion. ( N M )

127. (Newly Added) A device for preparing a space in a human spine to receive an  
insert between adjacent vertebral bodies, said device comprising:

an elongated shaft portion;

a housing disposed at the distal end of said elongated shaft portion;

a drive means;

a drive source operably connected to said drive means; and

a form cutter mountable on said housing and movable by said drive means, wherein:

said form cutter has at least one milling surface selected to create a surface contour in one of the  
adjacent vertebral bodies as said form cutter is moved by said drive means, said surface contour  
being generally parallel to said elongated shaft portion.

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128. (Newly Added) A device for preparing a space in a human spine to receive an insert between adjacent vertebral bodies, said device comprising:

an elongated shaft portion;

a housing disposed at the distal end of said elongated shaft portion;

a drive means;

a drive source operably connected to said drive means; and

a form cutter mountable on said housing and movable by said drive means, wherein:

said form cutter has at least one milling surface selected to create a surface contour in one of the adjacent vertebral bodies as said form cutter is moved by said drive means, said at least one milling surface being entirely within an area formed by the adjacent vertebral bodies during milling.

129. (Newly Added) A device for preparing a space in a human spine to receive an insert endoprosthesis device between adjacent vertebral bodies, said device comprising:

an elongated shaft portion;

a housing disposed at the distal end of said elongated shaft portion;

a drive means;

a drive source operably connected to said drive means; and

a form cutter mountable on said housing and movable by said drive means, wherein:

said form cutter has ~~at least one milling surface~~ a profile selected to ~~create~~ impart a shape in the bone of the vertebral bodies ~~a surface contour that mates with the endoprosthesis device in one of the adjacent vertebral bodies~~ as said form cutter is moved by said drive means.

130. (Newly Added) A device for preparing a space in a human spine to receive an insert endoprosthesis device between adjacent vertebral bodies, said device comprising:

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an elongated shaft portion;

a housing disposed at the distal end of said elongated shaft portion;

a drive means;

a drive source operably connected to said drive means; and

a form cutter mountable on said housing and movable by said drive means; and, wherein:

~~said form cutter has at least one milling surface selected to create a surface contour in one of the adjacent vertebral bodies as said form cutter is moved by said drive means.~~

means for preparing a space in a human spine to receive the endoprosthesis device between adjacent vertebral bodies, said space comprising a surface contour in at least one of the adjacent vertebral bodies.

131. (Newly Added) A device for preparing a space in a human spine to receive an insert between adjacent vertebral bodies, said device comprising:

an elongated shaft portion;

a housing disposed at the distal end of said elongated shaft portion;

a drive means;

a drive source operably connected to said drive means; and

a form cutter mountable on said housing and movable by said drive means, wherein:

said form cutter has at least one vertebral body surface contour milling surface selected to create a surface contour in one of the adjacent vertebral bodies as said form cutter is moved by said drive means.